



November 7, 2005

Board Agenda Item 6.3.2
Mtg Date: November 17, 2005

Frank R. Furger, Deputy Director
Alameda County Congestion Management Agency
1333 Broadway Suite 220
Oakland, CA 94612

**Subject: Quarterly Project Monitoring Report
Federally funded – Locally Sponsored Projects – Alameda County
Draft At Risk Report – October 2005**

Dear Mr. Furger:

Enclosed is the Draft Federal At Risk Report dated October 2005. The Report is intended to identify activities required to comply with the project delivery requirements set forth in MTC's Resolution 3606 related to projects funded with STP and CMAQ funds. There are 23 locally sponsored federally funded projects segregated by "zone." Red zone projects are considered at a relatively high risk of non-compliance with the provisions of Resolution 3606. Yellow zone projects are considered at moderate risk, and green zone at low risk. The criteria for determining the project zone are listed on a separate page following the zone tables. The durations included in the criteria are intended to provide adequate time for project sponsors to perform the required activities to meet the deadline(s). A project may have multiple risk factors that indicate multiple zones. The risk zone associated with each risk factor is indicated in the tables. Projects with multiple risk factors are listed in the zone of higher risk. Attachment A provides details related to the deadlines associated with each of the Required Activities used to determine which zone of risk a project is assigned to. The deadline for submitting the environmental package one year in advance of the obligation deadline for right of way or construction capital funding is tracked and reported, but is not affiliated with any zone of risk.

The information presented in the report is based on the information made available to the project monitoring team. This information stems from the project sponsors as well as other funding agencies such as MTC and Caltrans Local Assistance.

If you have any questions regarding the enclosed report, please contact me.

Sincerely,
ADVANCE PROJECT DELIVERY INC.

James P. O'Brien

Enc.

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Red Zone Projects

Index	TIP ID	Sponsor	Project Title	Source	Prog'd Amount (\$x 1,000)	Phase	FY	Req'd Activity	Date Req'd By	Zone	Notes	Prev Zone
1	ALA050052	Ala. County	East Castro Valley Blvd/ Dublin Canyon Rd.	STP	\$44	PSE	05/06	Req Project Field Rev	1/27/06	R	MTC approved 7/27/05	NA
								Sub Req for Auth	4/1/06	R	Same FY as Capital	NA
					\$572	CON	05/06	Sub Req for Auth	4/1/06	Y		NA
2	ALA050053	Berkeley	Piedmont Ave Reconstruction	STP	\$209	CON	05/06	Req Project Field Rev	1/27/06	R	MTC approved 7/27/05	NA
								Sub Req for Auth	4/1/06	Y		NA
3	ALA050025	Hayward	Hesperian Blvd Rehab	STP	\$8	ENV	05/06	Sub Req for Auth	4/1/06	R	Same FY as Capital	NA
					\$16	PSE	05/06	Sub Req for Auth	4/1/06	R	Same FY as Capital	NA
					\$697	CON	05/06	Sub Req for Auth	4/1/06	Y		NA
4	ALA050056	Hayward	West A Street Rehab	STP	\$5	ENV	05/06	Req Project Field Rev	1/27/06	R	MTC approved 7/27/05	NA
								Sub Req for Auth	4/1/06	R	Same FY as Capital	NA
					\$8	PSE	05/06	Sub Req for Auth	4/1/06	R	Same FY as Capital	NA
					\$109	CON	05/06	Sub Req for Auth	4/1/06	Y		NA
5	ALA050054	Livermore	East Ave Rehab (Hillcrest to Loyola)	STP	\$158	CON	05/06	Req Project Field Rev	1/27/06	R	MTC approved 7/27/05	NA
								Sub Req for Auth	4/1/06	Y		NA
6	ALA010021	Oakland	City of Oakland Street Resurfacing Program	STP	\$825	CON	05/06	Req Project Field Rev	1/27/06	R	MTC approved 7/27/05	NA
								Sub Req for Auth	4/1/06	Y		NA
7	ALA050058	Pleasanton	West Las Positas Blvd Resurfacing	STP	\$135	CON	05/06	Req Project Field Rev	1/27/06	R	MTC approved 7/27/05	NA
								Sub Req for Auth	4/1/06	Y		NA

Yellow Zone Projects

Index	TIP ID	Sponsor	Project Title	Source	Prog'd Amount (\$x 1,000)	Phase	FY	Req'd Activity	Date Req'd By	Zone	Notes	Prev Zone
8	ALA050021	Ala. County	East Ave Rehab	STP	\$505	CON	05/06	Sub Req for Auth	4/1/06	Y		G
				STP	\$27	PSE	04/05	Encumber Funds	6/30/06	G	E-76 effective 2/28/05	G
9	ALA050022	Fremont	Rehab on Various Sts	STP	\$1,753	CON	05/06	Sub Req for Auth	4/1/06	Y		G
10	ALA050057	Fremont	3 St. Segments -Overlay	STP	\$419	CON	05/06	Sub Req for Auth	4/1/06	Y	sub-project of ALA050022	NA
11	ALA050024	Livermore	South Vasco Rd Rehab	STP	\$300	CON	05/06	Sub Req for Auth	4/1/06	Y		G

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Yellow Zone Projects -continued from previous page

Index	TIP ID	Sponsor	Project Title	Source	Prog'd Amount (\$x 1,000)	Phase	FY	Req'd Activity	Date Req'd By	Zone	Notes	Prev Zone
12	ALA050028	Oakland	Chinatown Ped Imps	CMAQ	\$1,282	CON	05/06	Sub Req for Auth	4/1/06	Y		G
				CMAQ	\$267	ENV	04/05	Encumber Funds	6/30/06	G	\$267k oblig. 5/17/05	G
				CMAQ	\$651	CON	06/07	Sub Req for Auth	4/1/07	G		G
13	ALA050039	Oakland	MacArthur Transit Hub Improvement Project	CMAQ	\$200	PSE	05/06	Sub Req for Auth	4/1/06	Y	Field review 10/6/05	NA
				CMAQ	\$681	CON	06/07	Sub ENV package	6/30/06	NA		NA
								Sub Req for Auth	4/1/07	G		NA
14	ALA050023	Oakland	Rehab on Various Sts	STP	\$499	CON	05/06	Sub Req for Auth	4/1/06	Y	Field review 9/8/05	G
				STP	\$1,074	CON	06/07	Sub Req for Auth	4/1/07	G		G
15	ALA050026	San Leandro	Washington Ave Rehab	STP	\$445	CON	05/06	Sub Req for Auth	4/1/06	Y		G
				STP	\$30	PSE	04/05	Encumber Funds	6/30/06	G	E-76 effective 2/24/05	G
16	ALA050055	San Leandro	Floresta Blvd Street Rehab	STP	\$185	CON	05/06	Sub Req for Auth	4/1/06	Y	Field review req'd 8/05	NA
17	ALA990015	Union City	UC Intermodal Station	CMAQ	\$1,124	CON	05/06	Sub Req for Auth	4/1/06	Y	TLC \$ -in process of transferring to FTA	G

Green Zone Projects

Index	TIP ID	Sponsor	Project Title	Source	Prog'd Amount (\$x 1,000)	Phase	FY	Req'd Activity	Date Req'd By	Zone	Notes	Prev Zone
18	ALA010063	AC Transit	Aquire 416 Bus Catalyst Devices	CMAQ	\$68	CON	04/05	Award into FTA Grant	6/30/06	G	\$68k obligated 4/28/05	G
19	ALA030002	Ala. County	Vasco Road Safety Imps. Phase 1	STP	\$3,900	ROW	04/05	Encumber Funds	6/30/06	G	E-76 effective 6/29/05	G
20	ALA050020	Berkeley	Gilman Street Rehab	STP	\$705	CON	06/07	Sub Req for Auth	4/1/07	G	ENV submittal 9/20/05	G
21	ALA990078	Berkeley	San Pablo Ave. Corridor Bicycle Path	CMAQ	\$1,034	ROW	06/07	Sub Req for Auth	4/1/07	G	ENV submittal 3/15/00	NA
22	ALA030015	LAVTA	Acquire 25 Bus Catalyst Devices	CMAQ	\$175	CON	04/05	Award into FTA Grant	6/30/06	G	\$175k obligated 5/20/05 transfer letter sent to FTA	G
23	ALA030017	LAVTA	Exp. Bus -Route 70 & Subscript. Routes	CMAQ	\$89	CON	04/05	Award into FTA Grant	6/30/06	G	\$89k obligated 4/28/05	G

Appendix A -Definitions of Required Activities

Project sponsors should note that Resolution 3606 is scheduled to be amended in December of 2005. Appendix A will be revised for the next At Risk Report, which is scheduled for February 2006, to reflect the amended version of the Resolution.

Index	Required Activity	Definition	Deadline
1	Req Proj Field Rev	Per MTC Resolution 3606, "Implementing agencies are required to request a field review within six months from MTC's approval of the project in the TIP."	6 months from MTC's TIP approval date.
2	Sub ENV package	Per MTC Resolution 3606, "Implementing agencies are required to submit a complete environmental package to Caltrans for all projects (except those determined <i>Programmatic Categorical Exemption</i> as determined by Caltrans at the field review), twelve months prior to the obligation deadline for right of way or construction funds." (This requirement does not apply to FTA transfers or planning activities).	12 months prior to the obligation deadline for RW or Con funds.
3	Sub Req for Auth	Per MTC Resolution 3606, "Implementing agencies are required to submit the complete request for obligation or FTA transfer to Caltrans Local Assistance by April 1 of the fiscal year programmed in the TIP, and receive an obligation/FTA transfer of the funds by June 30th of the fiscal year programmed in the TIP."	April 1 of FY in which funds are programmed in the TIP.
4	Obligate Funds	Per MTC Resolution 3606, "Funds must be obligated by June 30 th of the fiscal year in which they are programmed in the TIP. Funds not obligated (or transferred to FTA) by June 30 of the fiscal year programmed in the TIP will be returned to MTC for reprogramming." (No extensions will be granted to the obligation deadline).	June 30 of FY in which funds are programmed in the TIP.
5	Encumber Funds/ Award into FTA Grant	Per MTC Resolution 3606, "Funds must be encumbered within one state fiscal year following the fiscal year in which the funds were obligated (encumbrance is approval of a funding agreement with the state). This requirement does not apply to FTA transfers. For FTA projects, funds must be approved/awarded in a FTA Grant within one state fiscal year following the fiscal year in which the funds were transferred to FTA."	End (June 30) of State FY following FY of obligation.
6	Award Contract	Per MTC Resolution 3606, "Construction/Equipment Purchase contract must be awarded within one state fiscal year following the fiscal year in which the construction funds were obligated (this requirement does not apply to FTA transfers)."	End (June 30) of State FY following FY of obligation.
7	Liquidate Funds	Per MTC Resolution 3606, "Funds must be liquidated (expended, invoiced and reimbursed) within four state fiscal years following the fiscal year in which the funds were obligated (this requirement does not apply to FTA transfers)."	End (June 30) of fourth State FY following FY of obligation.
8	Project Close-out	Per MTC Resolution 3606, "Project must be accepted and closed out within one year of the last expenditure, or within five state fiscal years following the fiscal year in which the funds were obligated, whichever occurs first (this requirement does not apply to FTA transfers)."	One year after date of last expenditure; or end (June 30) of fifth State FY following FY of obligation, whichever occurs first.

Appendix B Federal At Risk Report Zone Criteria			
Required Activity	Criteria Timeframes for Required Activities		
	Red Zone	Yellow Zone	Green Zone
Request Project Field Review	Project in TIP (MTC approval) for more than two (2) months	Project in TIP (MTC approval) for less than two (2) months	NA
Submit Request for Authorization (ENV)	within two (2) months	within two (2) to six (6) months	All conditions other than Red or Yellow Zones
Submit Request for Authorization (PSE)	within four (4) months	within four (4) to eight (8) months	All conditions other than Red or Yellow Zones
Submit Request for Authorization (ROW)	within four (4) months	within four (4) to nine (9) months	All conditions other than Red or Yellow Zones
Submit Request for Authorization (CON)	within six (6) months	within six (6) to nine (9) months	All conditions other than Red or Yellow Zones
Obligation/ FTA Transfer	within two (2) months	within two (2) to four (4) months	All conditions other than Red or Yellow Zones
Fund Encumbrance/Award into FTA Grant	within two (2) months	within two (2) to four (4) months	All conditions other than Red or Yellow Zones
Construction award	within six (6) months	within six (6) to nine (9) months	All conditions other than Red or Yellow Zones
Fund Liquidation	within four (4) months	within four (4) to nine (9) months	All conditions other than Red or Yellow Zones
Project Closeout	within four (4) months	within four (4) to nine (9) months	All conditions other than Red or Yellow Zones
Other Zone Criteria			
Red Zone	Projects with funds programmed in the same FY for both a project development phase (i.e. ENV or PSE) and a capital phase (i.e. ROW or CON) without the project development phase(s) obligated.		
Yellow Zone	Projects with an Amendment to the TIP pending.		

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